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August 6, 2001

BOX PATENT APPLICATION  
Assistant Director For Patents  
Washington, D.C. 20231

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Derrick T. Gordon

Name of Person Mailing Paper or Fee

*Derrick T. Gordon*

Signature

August 6, 2001

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Re: New U.S. Patent Application  
METHODS AND APPARATUS FOR FORMULATION,  
INITIAL PUBLIC OR PRIVATE OFFERING,  
AND SECONDARY MARKET TRADING OF RISK  
MANAGEMENT CONTRACTS  
By: John NAFEH and Kenton K. YEE  
Attorney Docket: 17066/00103

Dear Sir:

Enclosed for filing are the following papers relating to  
METHODS AND APPARATUS FOR FORMULATION, INITIAL PUBLIC OR PRIVATE  
OFFERING, AND SECONDARY MARKET TRADING OF RISK MANAGEMENT  
CONTRACTS, John NAFEH and Kenton K. YEE, inventors:

- (1) Specification (111 pages, including 95 claims and an abstract);
- (2) Two original Executed Declarations and Power of Attorney (4 pages each);
- (3) Formal Drawings (6 sheets);
- (4) Transmittal letter (2 pages) with PrintEFS Patent Application Bibliographic Data (2 pages); and

JC962 U.S. PTO  
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09923035 "080601"

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August 6, 2001

Page 2

- (5) Two original Assignments (3 pages each) of the invention to PARETO PARTNERS, LTD., with attached Recordation Form Cover Sheet (1 page) (in duplicate).

The amount of the filing fee is calculated below:

			Fee for small entity			Fee for other than small entity	
Fee	No. filed	No. extra *	Rate	Fee	OR	Rate	Fee
Basic fee				\$355	OR		\$
Total claims	95-20=	75	X \$9=	\$675	OR	X \$18=	\$
Independent claims	10-3=	7	X \$40=	\$280	OR	X \$80=	\$
Multiple Dependent Claim Presented	0	0	+\$135=	\$0	OR	+\$270=	\$
			Total	\$1310	OR	Total	\$

\*If the difference in Column 1 is less than zero, enter "0" in Column 2.

Please charge the required fee of \$1,350.00 (\$355.00 for the small entity filing fee, \$955.00 for the excess claims fee and \$40.00 for recordal of the assignment fee) to Sidley Austin Brown & Wood's Deposit Account No. 18-1260. If additional fees are due, please charge any fees during the pendency of this application (other than the issue fee) to Deposit Account No. 18-1260. Please credit any overpayment to Deposit Account No. 18-1260.

All correspondence is to be directed to the address associated with the Customer Number 26116.

This transmittal letter is being filed in duplicate.

Respectfully submitted,

By: 

Thomas N. Tarnay  
Registration No. 41,341  
Attorney for Applicants

TNT:pm  
Enclosures